

Shedfield Parish Council

Risk Register

September 2021

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1. Introduction

The recognition and management of risk is integral to the Council's stewardship of their assets and resources and the effective and efficient discharge of their duties and responsibilities to the community. Risks may be financial or non-financial.

This document contains the risk register formulated by the Parish Council. The register contains an assessment of the risks that the council face and the steps taken or actions required to either eliminate the risk or reduce the risk to an acceptable level.

2. Risk Register

The risk register has been prepared by identifying the subject then identifying what the risk may be. For each identified risk, the probability of risk has been assessed together with the impact on the ability of the council to meet its duties should that risk occur.

A number on the scale of 1 to 5 has been allocated to each risk for the probability and impact. The total risk score is the product of the two individual scores.

The scales used are as follows:

Probability of the event happening		Impact of the risk in the Council	
1	Very stable situation, risk event very unlikely	1	No immediate impact expected
2	Generally stable but need to be aware of	2	Time to address impact
3	Less stable but current volatility considered low	3	Impact needs to be addressed in a reasonable time and action plan implemented
4	Due to current volatility, a reasonable concern that the risk may occur	4	Requires attention and may have an impact in the ability of the council to carry out its duties
5	Relatively high probability that the risk may occur	5	Requires immediate action. May result in a major disruption in the ability of the council to carry out its duties

3. Actions

The risk mitigation of a number of the risks require ongoing actions which are part of the general governance requirements of the council. However, a number of specific actions have been highlighted which, once completed, may result in the need to review the specific actions and reduce either the risk of an event occurring or the impact of such a risk. These specific actions are contained in Table 1.

Other actions are contained within the risk register which is contained in the Appendix.

Topic	Action	Actioned by	Completion Date

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Appendix A - General Risk Register (Excluding Financial Risks)

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Topic	Risk Identified	Probability	Impact	Total Risk (P x I)	Management of Risk	Staff action	Internal Actions (frequency)
BUILDING/LOCATION							
Pavilion Building	Repairs not completed in a timely manner	2	3	6	Regular external visual assessment. Clerk to ensure maintenance/repairs arranged at the earliest opportunity by a competent person.	Clerk / Open Space Committee	3 months
	Unsafe environment to staff, hirers and public	2	3	6	Regular external visual assessment. Clerk to ensure maintenance/repairs arranged at the earliest opportunity by a competent person.	Clerk / Open Space Committee	3 months
	Risk of fire	1	5	5	Smoke alarms installed. No smoking facility. Annual fire alarm service. Fire extinguishing aides clearly labelled. Check with CIA whether any further actions required. Fire safety instructions given to all users	Clerk / Full Council	12 months
	Flooding/leakage	2	3	6	Risk to be considered as part of the pavilion updates. Where pipes are at risk of freezing, consider the possibility of additional heating	CIL Committee/ Clerk	Monthly meetings
	Drains blocked causing environmental issue	3	2	6	Regular inspections by cleaner/office staff	Cleaner/office staff	Ongoing
	Showers not flushed regularly causing risk of legionnaires disease	1	5	5	Regular flushing of showers during cleaning process	Cleaner / Clerk	Weekly
	Fire safety features not inspected and maintained	1	5	5	Annual maintenance contract in place. Regular fire alarm tests	Full Council/ Clerk	12 months
	Fire exit doors not maintained/kept clear restricting emergency evacuation	1	4	4	Regular checks on fire doors to confirm operation and clear of obstacles	Clerk / Office staff	Ongoing
	Hot Water Urns - spillage	2	2	4	Hiring instructions highlight risk	Hirers/ Clerk	12 months
	Defibrillator not regularly maintained	1	4	4	Checks on operational status - weekly	Clerk	Weekly
	Security levels not adequate	3	5	15	CCTV installed with annual maintenance contract. Security lights installed.	Clerk / All	12 months
	No provision for first aid	1	4	4	First aid box located in kitchen. People to notify Clerk of any usage. Regular checks to be conducted on status	Hirers/ Clerk	Monthly
Electrical equipment presents H&S risk	2	5	10	All electrical equipment is checked annually (PAT). Any hirer is responsible for ensuring that any electrical appliances that are brought onto the premises are safe and used in a safe manner and comply with the Electrical Safety at Work Regulations 1989.	Clerk	12 months	

Topic	Risk Identified	Probability	Impact	Total Risk (P x I)	Management of Risk	Staff action	Internal Actions (frequency)
BUILDING/LOCATION							
Pavilion – Office Working	Office not secured correctly on leaving/not in attendance	2	5	10	Staff are aware of security arrangements	All staff	Ongoing
	Equipment left in an unsafe condition	2	5	10	Staff aware of the correct procedures	All staff	Ongoing
	Operating procedures not adhered to resulting in unsafe working	2	5	10	Staff aware of operating procedures. Training provided when necessary. Any issues to be highlighted to Parish Clerk for further action	All staff / Parish Clerk	Ongoing
	Staff not aware of relevant safety systems and controls	2	4	8	Staff aware of operating procedures. Training provided when necessary.	All staff	12 months
	Lone working policy is not effective	2	5	10	Policy reviewed at regular intervals by P&P committee.	P&P committee	12 months
	Valuable/confidential items not stored correctly (and in safe at night)	2	5	10	Staff aware of requirement	All staff	Ongoing
	PCs left logged on when unattended	2	5	10	Review time before screen automatically turns-off	Parish Clerk	Review by May 2019
	Potential H & S issues not raised in a timely manner	2	5	10	Staff to be reminded of the need to report any H&S issues	All Staff	Ongoing
	No or inadequate internal complaints procedure	2	5	10	Existing procedure to be reviewed and updated as necessary (internal and external)	P&P Committee	12 months
	Safety sheets for chemicals/substances not available or stored incorrectly	3	2	6	COSHH substances to be reviewed and data sheets obtained as necessary.	Parish Clerk	Review by May 2019/ on receipt of new chemicals
	Training (induction and ongoing) not adequate			0	Level of training and format to be discussed at P&P meeting. Parish Clerks symposium to be considered	P&P Committee	12 months

Topic	Risk Identified	Probability	Impact	Total Risk (P x I)	Management of Risk	Staff action	Internal Actions (frequency)
BUILDING/LOCATION							
Recreation Grounds x 3 (Shedfield Rec, Shirrell Heath Rec & Waltham Chase Rec)	Play equipment not functional	4	1	4	Weekly playground Inspections	Open Spaces Committee / Parish Clerk	Weekly
	Play equipment a danger to users	2	5	10	Weekly playground Inspections	Open Spaces Committee / Parish Clerk	Weekly
	Equipment wilfully damaged	4	2	8	Weekly playground inspections. Costs covered by insurance	Open Spaces Committee / Parish Clerk	Weekly
	Maintenance and repairs unsatisfactory	3	2	6	All work inspected when completed	Open Spaces Committee / Parish Clerk	As Required
	Football pitch goalpost holes uncovered	4	5	20	To be reviewed as part of any football pitch improvements	Open Spaces Committee / CIL Committee	Agenda item to be added
	Cricket pitch not satisfactorily maintained	3	5	15	Inspection regime to be reviewed by Open Spaces	Open Spaces Committee	To be determined
	Third party damage due to cricket ball	2	5	10	Insurance coverage to be investigated. Open spaces to review	Open Spaces Committee	Agenda item to be added
	Flag Pole not properly secured enabling misuse	1	5	5	Regular inspection by Parish Staff/Contractors. Reports of damage from members of the public	Open Spaces Committee	As required
Allotments	Tenancy agreement not satisfactory	2	3	6	Tenancy Agreement to be reviewed to ensure still adequate	Open Spaces Committee	12 months
	Tenants do not hold PLI	2	2	4	Open Spaces to consider whether PLI is adequately covered in the tenancy agreement and whether any further action is required by allotment holders	Open Spaces Committee	Next meeting
	Tenants do not adhere to Tenancy Agreement	2	3	6	Periodic plot inspections to be carried out by the allotment administrator to check that Tenants are adhering to their Tenancy Agreement. Reports from other allotment holders. Issues to be discussed by open Spaces committee	Elected Allotment Councillor & Administrator	3 months
	Footpaths not maintained to a safe standard	2	4	8	Footpaths monitored. Tenants to monitor and report any problems, although use is at 'own' risk.	Open Spaces Committee	3 months

Topic	Risk Identified	Probability	Impact	Total Risk (P x I)	Management of Risk	Staff action	Internal Actions (frequency)
BUILDING/LOCATION							
Cemetery	Memorial stones in an unsafe condition	2	5	10	Annual Safety Testing of Memorial Stones. Memorial Stones found to be loose are laid down and attempt made to contact relatives if details are available.	C&C Committee	12 months
	Trips, slips and falls	3	5	15	Regular inspection of general condition and headstone stability. Open graves require planks to prevent falls	C&C Committee/ Cemetery Clerk	6 months
	No space for interments	1	4	4	Currently sufficient space for immediate future	Review status annually	12 months
	Cemetery policies not adhered to	2	3	6	C&C committee address any non adherence	C&C Committee	6 months
Shedfield Common	Trees/branches falling	1	5	5	Regular walk-round/visual assessment of the Common by Chair of Cemetery & Common/Committee. Specialist advice from tree surgeons taken where necessary	C&C Committee	3 months
	General hazards result in trip/slip/fall	3	4	12	Regular walk-round/visual assessment of the Common by Chair of Cemetery & Common/Committee. Reports from members of the public	C&C Committee	3 months
Councillors	Insufficient knowledge to conduct council business	2	4	8	Consider training requirements (initial and ongoing) at P&P	P&P committee	6 months / Commencement of new councillor or staff member
	Non-compliance to employment law	3	3	9	HALC provide awareness of changes to the law and provide help where necessary. Clerk circulates updates when received	Parish Clerk	As Required
	Misuse public funds	2	5	10	Ensure Councillor knowledge is up to date (see above)	P&P committee	6 months
	Act outside their power of authority	2	5	10	Ensure Councillor knowledge is up to date (see above)	P&P committee	6 months
	Conflict of interest	3	4	12	Agenda item at each meeting in order to declare pecuniary and non-pecuniary interests	Clerk/ Committee chair	Ongoing
	Not compliant with Data Protection Requirements	3	4	12	DPR policy in final review at P&P committee and then to be adopted by Full Council. All to be reminded of responsibilities and policy reviewed annually	P&P committee / Full Council	12 months
	Disaster planning not adequate				Plan to be created. To be discussed by P&P/Full Council	P&P committee / Full Council	3 months

Appendix B - Financial Risk Register

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Income							
Topic	Risk Identified	Probability	Impact	Total Risk (P x I)	Management of Risk	Staff action	Internal Actions (frequency)
Precept	Requirement not submitted in time	1	5	5	Final draft of precept to be reviewed by F&A committee first, then approval by Full Council prior to deadline (normally January). Significant task and reminders received from WCC	RFO Diary	12 months
	Not paid by Winchester City Council	1	5	5	RFO/Clerk to report to F&A Committee when the monies are received (approx. April & October)	RFO Diary	12 months
	Inadequacy of precept or incorrect precept requested	3	3	9	Quarterly review of budget to actual for F&A Committee. Experienced RFO limits probability of occurrence. Reserves may be impacted if precept incorrect	RFO Diary & RFO to attend committee meetings	3 months
Charges – Cemetery	Invoices to undertaker money not received	2	2	4	Burial entered into register and payments sent to RFO	Reconciliation of burial register to invoices by RFO	6 months
	Memorial fees	2	2	4	RFO to confirm with cemetery clerk the number of memorials installed	RFO	6 months (Mar & Sep)
Charges – Allotments	Rental invoices not issued or paid	1	1	1	Receipts checked against annual budget by RPO	Reconcile to money taken	12 months (May)
	Cash handling/loss	2	1	2	Cash/Cheques banked immediately on receipt. The Council also has the Financial Regulations which set out requirements.	RFO check to bank	As required
Charges – Hire of facilities	Hire invoices not being issued	1	2	2	Invoices submitted against Bookings sheet	RFO Reconcile to money taken	Monthly
	Cash handling/loss and non-payment of invoice	2	2	4	Cash/Cheques banked immediately on receipt. The Council also has the Financial Regulations which set out requirements.	RFO to reconcile payments	Monthly
Grants	Grants not applied for when available	4	5	20	The Parish Council does not presently receive any regular grants. One off grants would be considered individually by the relevant Committee. Relies on knowledge of potential grants and information from District Councillors	Clerk/RFO/ Councillors Add to agenda	All committee meetings
	Grant application incorrect and rejected	3	5	15	RFO and Clerk to be involved in the grant application process	RFO/ Clerk	As required
	Grant received in error - to be repaid	2	5	10	All interested parties to check grant application relevance	Clerk/RFO/ Councillors	As required

Income							
Topic	Risk Identified	Probability	Impact	Total Risk (P x I)	Management of Risk	Staff action	Internal Actions (frequency)
Bank and Banking	Inadequate checks - errors by bank or individuals	2	4	8	The Council has Financial Regulations which set out the requirements for banking and bank reconciliations. Bank reconciliations by RFO and audited by Councillors.	RFO/ Councillors	RFO - monthly Councillor - 3 monthly
	Collapse of financial institution - not covered by the FSCS compensation scheme	2	5	10	Check limits for FSCS compensation and applicability for size of Parish Council. Spread reserves appropriately	RFO/ F&A committee	Monthly
	Fraud by 3rd Party including credit card fraud	3	5	15	Regular updates to virus software. Regular bank reconciliations.	RFO	Weekly
	Fraud by Staff or Councillors	2	5	10	Payments require authorisation by 2 approved Councillors. Reconciliation by RFO and non-signatory councillors. Indemnity insurance to be review to consider whether increase required.	RFO & F&A Committee	4 monthly
Cash/Loss	Cash/cheque mislaid	2	3	6	The Council have the Financial Regulations which set out the requirements. No cash is to be kept on site.	RFO	Monthly
Investment Income	Investment Policy incorrect	2	2	4	F&A committee to review investment policy annually	RFO Diary	12 months
Expenditure							
Topic	Risk Identified	Probability	Impact	Total Risk (P x I)	Management of Risk	Staff action	Internal Audit Checks (Every)
Salaries	Wrong salary paid	2	1	2	The P&P Committee authorises the appointment of all employees, issues the contract & job description. Tax calculated on HMRC website. Pension input manually. Basic pay is through standing order. Check to be made against contract	Staff Member to verify	12 months
	Wrong hours paid	2	1	2	Check to timesheet/contract	Councillor member to verify	12 months
	Wrong rate paid	2	1	2	Salary rates are assessed annually by the P&P Committee. Check to contract	Councillor member to verify	12 months
	False employee	1	1	1	Check to PAYE Records & HMRC Basic Tools software.	Councillor member to verify	12 months
	Loss of salary/PAYE data	2	1	2	HMRC Basic Tools software backed up monthly. Stored in financial drive with limited access.	RFO	12 months
	Wrong deductions – NI	1	1	1	Check to PAYE Calcs/HMRC Basic Tools software	Councillor member to verify	12 months

Expenditure							
Topic	Risk Identified	Probability	Impact	Total Risk	Management of Risk	Staff action	Internal Audit Checks (Every)
				(P x I)			
Salaries (cont)	Wrong deductions – Income tax	1	1	1	Check to PAYE Calcs/HMRC Basic Tools software	Councillor member to verify	11 months
	Incorrect Pension deducted	2	2	4	Calculated by RFO. Currently no other checks. Annual changes to pension rates notified by external sources.	Councillor member to verify	12 months
Direct Costs and overhead expenses	Payment made but goods not supplied	2	2	4	Initial (up-front) payments by exception. Order system/Purchase Orders. The Council has Financial Regulations and pre-payment policy which set out the requirements.	RFO check	12 months
	Invoice incorrectly calculated	2	2	4	Check arithmetic on all invoices received	RFO check	12 months
	Amount paid is incorrect	2	2	4	2 Signatories initials Cheque book stub/electronic payment receipt , Invoice & Approval list	RFO Check / Councillor member to verify	6 months
	Payment made to wrong party	3	2	6	2 Signatories initials Cheque book stub, Invoice & Approval list. Payment policy includes checks for changes to bank details.	RFO Check / Councillor member to verify	6 months
CLRs expenses	CLr over claimed expenses	2	1	2	Claim form checked & approved	RFO verify	6 months
Grants, support and S137	Inappropriate payment of grant to 3rd party	2	2	4	Minuted by F&A Committee, then Full Council. Checked to s137 rules	RFO Check	12 months
	Conditions agreed by 3rd party on award but not met	3	1	3	Use reasonable conditions. Payments in good faith	RFO Check	12 months
	Grant policy not fit for purpose	2	3	6	Policy to be reviewed regularly by F&A	F&A	12 months
VAT irrecoverable	VAT not recovered	3	3	9	Not VAT registered but VAT reclaimed through VAT126 returned quarterly. The Council has Financial Regulations which set out the requirements. Council claim back through charities (playing fields and allotments).	RFO Diary	3 months
Reserves - General	Inadequate reserves	2	4	8	Consider at F&A Committee budget setting, then Full Council	RFO Diary	12 months
Reserves – Earmarked	Inadequate levels which prevent spend on future projects	2	4	8	Consider at F&A Committee budget setting & year end, then Full Council	RFO Diary	12 months

Expenditure							
Topic	Risk Identified	Probability	Impact	Total Risk (P x I)	Management of Risk	Staff action	Internal Audit Checks (Every)
Insurance	Inadequate cover	2	5	10	Annual review to take place (before the policy starts) to ensure adequacy of cover. Full review to be completed every 5 years (due in 2019). F&A to determine method for valuation review.	Clerk/RFO Diary/ F&A	12 months/Next F&A meeting
	Non-compliance to T&Cs	2	5	10	Ensure compliance measures are in place. To be reviewed as part of insurance renewal	Clerk/RFO	12 months
Assets	Loss or Damage	5	2	10	Annual inspection, update insurance and asset registers. Repeated damage/vandalism may require further action	RFO/Clerk Diary/Committees	12 months
Assets	Risk or damage to third party property or individuals	5	2	10	Annual inspection of assets. Review adequacy of Public Liability Insurance.	RFO/Clerk Diary	12 months
Staff	Loss of key personnel/Long term sick or early departure	5	2	10	Management of hours, health, stress and training	P&P Committee	12 months
	Fraud by staff	2	4	8	Fidelity Guarantee value assessed annually. Insurance company conditions met. Procedures in place to limit risk	F&A Committee, then Full Council	12 months
	Inappropriate actions undertaken by staff	4	2	8	Staff should be provided with relevant training, books and legal advice required to undertake the role	P&P Committee	12 months
Loss	Consequential loss due to critical damage or third-party performance	2	4	8	Insurance cover review adequacy of 3rd party contractors (annually for approved /before placement of order for one-off contracts). Approved supplier register to be created	RFO/Clerk Diary	12 months / 2 months
Maintenance	Poor performance of assets or amenities. Loss of income or performance	2	2	4	Monthly and Annual maintenance inspections carried out. All repairs are actioned/authorised in accordance with correct procedures. All assets are insured and reviewed annually	Clerk Diary	12 months
	Risk to third parties	2	2	4	Monthly and Annual maintenance inspections carried out. All repairs are actioned/authorised in accordance with correct procedures. All assets are insured and reviewed annually	Clerk Diary	12 months

Insurance (cont)	Non-compliance to T&Cs	2	5	10	Ensure compliance measures are in place. To be reviewed as part of insurance renewal	Clerk/RFO	12 months
Assets	Loss or Damage	5	2	10	Annual inspection, update insurance and asset registers. Repeated damage/vandalism may require further action	RFO/Clerk Diary/Committees	12 months
Assets	Risk or damage to third party property or individuals	5	2	10	Annual inspection of assets. Review adequacy of Public Liability Insurance.	RFO/Clerk Diary	12 months
Staff	Loss of key personnel/Long term sick or early departure	5	2	10	Management of hours, health, stress and training	P&P Committee	12 months
	Fraud by staff	2	4	8	Fidelity Guarantee value assessed annually. Insurance company conditions met . Procedures in place to limit risk	F&A Committee, then Full Council	12 months
	Inappropriate actions undertaken by staff	4	2	8	Staff should be provided with relevant training, books and legal advice required to undertake the role	P&P Committee	12 months
Loss	Consequential loss due to critical damage or third-party performance	2	4	8	Insurance cover review adequacy of 3rd party contractors (annually for approved /before placement of order for one-off contracts). Approved supplier register to be created	RFO/Clerk Diary	12 months / 2 months
Maintenance	Poor performance of assets or amenities. Loss of income or performance	2	2	4	Monthly and Annual maintenance inspections carried out. All repairs are actioned/authorised in accordance with correct procedures. All assets are insured and reviewed annually	Clerk Diary	12 months
	Risk to third parties	2	2	4	Monthly and Annual maintenance inspections carried out. All repairs are actioned/authorised in accordance with correct procedures. All assets are insured and reviewed annually	Clerk Diary	12 months

Other Financial Risk							
Topic	Risk Identified	Probability	Impact	Total Risk (P x I)	Management of Risk	Staff action	Internal Audit Checks (Every)
Borrowing & lending	N/A			0	The Council currently have no loans. Financial review and cash flow forecasting monthly	RFO Diary	12 months
Legal Powers	Illegal activity or payment	2	3	6	All activity and payments within the power of the Council to be resolved and minuted, including a reference to the power used. As per the Financial Regulations. Educate Council Members as to their legal powers	Councillor Member to verify	24 months
Financial Records	Inadequate records	2	3	6	RFO/clerk check quarterly. Regular internal auditor checks. The Council has Financial regulations which set out requirements	Diary	12 months
Audit – Internal	Not completed/submitted in time	1	4	4	Internal auditor to be appointed by Council. To be supplied with relevant documents and the Annual Return to be signed for submission to the External Auditors in good time	Clerk/ RFO Diary	Ongoing
Audit – External & Annual Return submission	Not completed/submitted in time	1	4	4	Annual Return is completed by Council & Internal Auditor, then checked and sent to the External Auditor within in set time frames.	RFO Diary	12 months
Electronic Council records	Loss through theft, fire, damage	1	5	5	Council's electronic records are stored on network. This is backed up daily and stored by 3rd party (to be confirmed)	RFO /Clerk	12 months
	Loss through hacking or viruses	2	5	10	Council have a regularly updated Anti-Virus software program. Data backed up by 3rd party.	RFO/Clerk	12 months
Reporting financial information	Information not communicated	1	4	4	Bank balances, budgets, reconciliations and approval lists are provided at each F&A Committee and then Full Council	RFO Diary	12 months

Other Financial Risk							
Topic	Risk Identified	Probability	Impact	Total Risk (P x I)	Management of Risk	Staff action	Internal Audit Checks (Every)
Minutes/Agendas/Notices Statutory documents	Inaccurate	1	3	3	Documents circulated for review and approval at following committee meeting	RFO/Clerk Diary	12 months
Members interests	Conflict of interest	1	4	4	Update declarations of interest annually. Declaring of interests by members at a meeting should remain on each Agenda	Clerk/RFO	12 months
CIL	Money not spent within timescale	2	3	6	CIL committee formed to spend monies. RFO maintains list of CIL income, expiry date and expenditure to date.	CIL Committee/ RFO	CIL meetings (monthly)
CIL (cont)	Monies not received or less than planned	1	2	2	Projects based on current monies received. RFO to chase outstanding monies	CIL committee/ RFO	As required
	CIL withdrawn	1	5	5	CIL committee to ensure projects completed in a timely manner	CIL committee	CIL meetings (monthly)